

3624
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: D. MCCABE et al.

Application No.: 09/559,320

Group Art Unit: 3624

Filed: April 27, 2000

Examiner: D. Felten

For: DERIVATIVE SECURITIES
TRADING PRODUCT UTILIZING
SUBSETS OF INDICES OR
PORTFOLIOS

Attorney Docket No.: 10449-003

RECEIVED

JUL 17 2002

GROUP 3600

FEE TRANSMITTAL SHEET

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The fee required to be filed with the accompanying amendment of even date herewith concerning the above-identified application has been estimated to be \$324.

The claim amendment fee has been estimated as shown below:

(Col. 1)		(Col. 2)		(Col. 3)		SMALL ENTITY		OTHER THAN A SMALL ENTITY	
CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE	ADDIT. FEE	RATE	ADDIT. FEE
TOTAL	24	MINUS	20	=	4	× 9	\$	× 18	\$ 72.00
INDEP.	6	MINUS	3	=	3	× 42	\$	× 84	\$ 252.00
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM						140	\$	280	\$
						TOTAL	\$	OR TOTAL	\$ 324.00

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150.
A copy of this sheet is enclosed.

Respectfully submitted,

Date July 11, 2002

Nanda K. Alapati

Nanda K. Alapati
For: Marcia H. Sundeen

Reg. No. 39,893
Reg. No. 30,893

PENNIE & EDMONDS LLP
1667 K Street, N.W.
Washington, D.C. 20006
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Enclosure

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application No.: 09/559,320

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DERIVATIVE SECURITIES
TRADING PRODUCT UTILIZING
SUBSETS OF INDICES OR PORTFOLIOS

AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

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Dear Sir or Madam:

In response to the Office Action mailed June 17, 2002, please enter the following amendments and remarks into the file of the above-identified application.

IN THE SPECIFICATION:

A marked-up copy of the amended paragraphs showing additions and [deletions] is attached in Appendix A. A clean copy of all pending claims is attached in Appendix B.

Please amend the following paragraphs in the specification to read as follows:

Paragraph beginning at page 1, line 12:

On the floor of a stock exchange, such as the New York Stock Exchange (NYSE) or the American Stock Exchange (AMEX), equities are traded by firms which are generally referred to as brokers. Some of these brokers are officially given the exclusive right to maintain the market for one or more particular stocks, and these firms are called specialists, because they specialize in trading those one or more particular stocks. And within that firm, a particular individual serves as the firm's specialist in handling one or more of those stocks for which the firm serves as the specialist. In general, most of the transactions for a particular stock are handled automatically and instantaneously. This is because a single

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02 FC:103 72.00 CH